



UNIVERSITÄT
BAYREUTH

DIE KANZLERIN

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To be sent to
all professors and
managers of organizational units
at the University of Bayreuth

Ref. № K

Please include in future correspondence
Bayreuth, 27.06.2024

Information on the new regulations regarding overhead/programme and project grants applicable as of 1 July 2024, decision of the University Governing Board dated 18 June 2024

Annex: Overhead/programme and project grants, overview of the 2024 continuation model

Ladies and Gentlemen,

Over the past few months, the University Governing Board has held two extensive meetings with the deans to discuss a new model for handling overhead/programme and project grants and to obtain feedback from scholars in the faculties. It is generally hoped that a forward-looking solution will provide more flexibility for academic activities and create efficient, simpler processes for everyone involved.

New regulations in Bavarian budget law regarding overhead/programme and project grants (and the like) from all third-party funding providers initially meant that it has no longer been possible to forward overhead/programme and project grants from all third-party funding providers directly to project managers since 1.1.2023 (see also the letter from the Provost dated 3.11.2023).

The regulations in force since 3 November 2023, which provide for the direct transfer of overhead/programme and project grants to project managers, will be replaced by a new model from 1 July 2024 (decision of the University Governing Board dated 18 June 2024). The regulations on the continuation model 2024 announced with this letter therefore affect third-party funded projects that are not contract research or scientific services and for which programme grants/overheads or similar funds were acquired after 1.1.2023 and will be acquired in the future. For projects with more extensive regulations or larger collaborative projects such as DFG collaborative projects with (co-)spokespersons/chairpersons at the University of Bayreuth (Cluster of Excellence Africa Multiple, Collaborative Research Centres, Research Training Groups) and EU projects with residual grants, special arrangements will continue to be made and discussed separately with those responsible.

The model applicable from 1.7.2024 provides for the provision of budget funds amounting to 35% of the overhead/programme and project grant approved in the third-party funded project. The budget funds may be used for teaching and research purposes and are made available to the project managers at the start of the project in a collective account in title group 40 and can therefore be used much more flexibly, for example for personnel costs. The previous documentation requirements (eDiP) and limits on the use of funds in the form of the positive list for eDiP no longer apply, and neither does the complete collection of the remainders at the end of each project. Additional important information can be found in the attached overview. For example, two capping limits have been agreed for liquidity and residual control, which will be implemented in stages.

Please note that from 1.7.2024, the requirements of state budgetary law and thus the general management principles such as economic efficiency and frugality as well as the general guidelines of the University of Bayreuth (e.g. hospitality guidelines) apply to the use of funds. Commercial purchases are not possible due to the inadmissibility of cross-subsidization of commercial services from state budget funds.

Additional commitments are made to the science sector to compensate for the lower percentage allocation. For example, a permanent research data management position will be created in IT-S, additional annual funding of €100,000 will be provided for open access publications/deal contracts and the annual funding for ITS/WAP equipment financed from the university budget will be increased by €75,000.

The conversion of the existing cost centres for indirect project expenditure (cost centre area 41xxxxxx, title group 40), which have been opened on a project-related basis since November 2023, and their transfer to the new model will take place in two stages. From 1.7.2024, the funds in these cost centres can be used for teaching and research purposes, and the documentation requirements (eDiP) will no longer apply. The original allocation amounts will be reduced to the new applicable rate of 35% as of 1.7.2024. The conversion of the cost centres will be carried out by division II/1.1.3 on 1.7.2024. No action is required on your part. The merging of the cost centres into one collective cost centre per project manager across all third-party funding providers and the associated transfer of funds will take place at a later date by the end of the year, also without any action on your part, by division II/1.1.3. You will find detailed information on the transition in the attached overview.

The regulations presented have no effect on your overhead/programme and project grants allocated to collective accounts in title group 41 (third-party funds) up to 31.12.2022. For these allocations and reserves from "old projects", please continue to observe the regulations for DFG programme grants in particular, as last announced in the Provost's letter dated 3.11.2023 and which can also be found in the new FAQs on the continuation model 2024.

You will find the new FAQs on the topic on the intranet at <https://www.intranet.uni-bayreuth.de/de/formulare/haushaltsangelegenheiten/index.html> in the section titled "Obtaining third-party funding". Here you will also soon find this letter and updated information sheet on programme grants/overheads. Please also take particular note of the updated declaration on research/third-party funding projects and enclose it with new projects.

I would like to thank all those involved in the process for their constructive collaboration and am pleased that we have been able to achieve considerable internal simplification and greater flexibility for our researchers.

Yours faithfully,

signed
Dr. Nicole Kaiser

Overhead/programme and project grants Overview of the 2024 continuation model

Last updated 18 June 2024

Continuation model for programme grants, overheads, etc.

Based on the feedback from our scholars, a new concept for the provision of funds to project managers was developed in consultation with the deans and approved by the University Governing Board on 18 June 2024¹. The continuation model replaces the regulations in force with the letter from the Provost dated 3 November 2023 and will apply from 1 July 2024 for approved overheads and for funds that have been allocated to the cost centres for indirect project expenditure since 1 January 2023²:

Provision of budget funds amounting to 35% of the overheads as a substitute for the direct allocation of overhead funds

- Utilization of budget funds for research and teaching purposes (incl. temporary staff)
- Allocation of funds to one collective account per project manager (personal), i.e. ONE account for programme grants/overhead funds across all projects and all funding bodies (incl. in future also BMBF and all sub-projects, e.g. external CRCs, TRRs, GraKos, etc.).
- For projects with more extensive regulations or larger collaborative projects such as DFG collaborative projects with (co-)spokespersons/chairpersons at the University of Bayreuth (Cluster of Excellence Africa Multiple, Collaborative Research Centres, Research Training Groups) and EU projects with residual grants, special arrangements will continue to be made.
- Provision of funds at the start of the project
- Determined pro rata on the basis of the amount of the approved programme grants/overhead
- No documentation requirements, no application
- The funds are generally transferable, i.e. no residual collection at the end of the project or year
- For liquidity and residual management:
 - Upper limit/maximum disposal amount of € 100,000 (before determination) per collective account: quarterly monitoring by division II/1

Concrete processing: Ongoing allocation of the pro rata funds to the collective account of the project manager after receipt of the approval and processing in division II/1.1.4. At the end of each quarter, the amounts available (prior to stipulations) that exceed the upper limit of € 100,000 on the respective key date are collected. Individual case regulations are possible for specific purchases or lumped allocations (multiple authorizations at short intervals) with

¹ For projects with more extensive regulations or larger collaborative projects such as DFG collaborative projects with (co-)spokespersons/chairpersons at the University of Bayreuth (Cluster of Excellence, Collaborative Research Centres, Research Training Groups) and EU projects with a residual grants, special arrangements will continue to be made.

² For programme grants/overhead funds that were forwarded to the project managers by 31.12.2022, the familiar regulations for old projects continue to apply: For DFG projects, the intended reduction of funds by 31 December 2025, keeping of utilization plans, no documentation of the expenditure of funds via eForm, etc.

application to the Provost in justified exceptional cases. In the year of introduction 2024, any collection will be made for the first time on 31 December 2024, then quarterly.

- Upper limit/maximum amount available across all collective cost centres in cover pool 40 in the amount of € 5 million (before determination): quarterly monitoring by division II/1

Concrete processing: The deans are informed at the end of a quarter if the account is exceeded for the first time. If the amount is exceeded again in the following quarter, the percentage cap is applied across all collective accounts (directly based on the account balances on this second reporting date). In the introduction phase, the first relevant review will take place on 31 December 2024 and a possible first capping will take place on 31 March 2025 at the earliest.

- The €100,000 upper limit per collective account takes precedence over the €5 million upper limit across all collective cost centres (i.e. quarterly review of the €100,000 upper limit per collective account and, if necessary, capping and subsequent review of whether the €5 million upper limit has been exceeded).
- Subject to a change in the ministry's requirements, the collection of residual amounts and a freeze on allocations in the event of a significant build-up of residual amounts

Conversion of funds that were made available between 1 January 2023 and 30 June 2024 on a project-related basis in the cost centres for indirect project expenditure:

- **On 1 July 2024:** Reduction of the original allocation amount to 35% (if more than 35% has already been spent, max. to account balance (before determination) = 0) and transfer of the remaining funds to the new model. When checking whether the account balance is ≥ 0 , the actual balance of the cost centre before determination is decisive.
- These residual funds (funds after reduction of the allocation amount to the new percentage) may also be used for teaching and research purposes in line with the new model.
- Conversion to the new allocation amount on 1 July 2024, meaning that the funds can be used for teaching and research purposes from 1 July 2024.
- The transfers to the new collective cost centre and, if necessary, the dissolution of the existing cost centres for indirect project expenditure will be carried out downstream by Unit II/1.1.3. Analogous to the new model, a possible capping of the funds to the upper limit of €100,000 will take place for the first time on 31 December 2024.
- No documentation requirements
- No collection of residual amounts at the end of the project (no collection of residual amounts for completed projects has been carried out since 1 January 2024)